

**U.S. District Court  
District of Columbia (Washington, DC)  
CIVIL DOCKET FOR CASE #: 1:19-cv-01203-BAH**

WARREN v. SECURITIES AND EXCHANGE COMMISSION  
Assigned to: Chief Judge Beryl A. Howell  
Cause: 05:552 Freedom of Information Act

Date Filed: 04/18/2019  
Jury Demand: None  
Nature of Suit: 540 Prisoner Petition:  
Mandamus & Other (Other)  
Jurisdiction: U.S. Government Defendant

**Plaintiff****DANIEL WARREN**

represented by **DANIEL WARREN**  
R#NL6620  
SCI PHEONIX  
1200 Mokychie Drive  
Collegeville, PA 19426  
PRO SE

V.

**Defendant****SECURITIES AND EXCHANGE  
COMMISSION**

represented by **Carin Marie Cozza**  
U.S. SECURITIES AND EXCHANGE  
COMMISSION  
Office of General Counsel  
100 F Street, NE  
Mail Stop 9613  
Washington, DC 20549  
(202) 551-7958  
Email: [cozzac@sec.gov](mailto:cozzac@sec.gov)  
**LEAD ATTORNEY**  
**ATTORNEY TO BE NOTICED**

Date Filed	#	Docket Text
04/18/2019		<b>Initiating Pleading &amp; IFP Application Received on 04/18/2019.</b> A copy of the docket sheet has been mailed to the address of record for the pro se party. (zsb) (Entered: 04/25/2019)
04/18/2019	<u>1</u>	COMPLAINT against SECURITIES AND EXCHANGE COMMISSION filed by DANIEL WARREN.(zsb) (Entered: 04/25/2019)
04/18/2019	<u>2</u>	MOTION for Leave to Proceed in forma pauperis by DANIEL WARREN (zsb) (Entered: 04/25/2019)
04/18/2019	<u>3</u>	PRISONER TRUST FUND ACCOUNT STATEMENT for period of six months by DANIEL WARREN (zsb) (Entered: 04/25/2019)
05/17/2019	<u>4</u>	ORDER directing an initial partial filing fee in the amount of \$45.29 from Prison Account of DANIEL WARREN and granting MOTION for Leave to Proceed In Forma Pauperis (see order for full details). Pro Se party has been notified by first class mail. Signed by Judge Colleen Kollar-Kotelly on 05/16/2019. (zsb) (Entered: 05/23/2019)
05/17/2019		Case Assigned to Chief Judge Beryl A. Howell. (zsb) (Entered: 05/23/2019)
05/24/2019	<u>5</u>	SUMMONS (3) Issued as to SECURITIES AND EXCHANGE COMMISSION, U.S. Attorney and U.S. Attorney General (zmc) (Entered: 05/24/2019)
06/10/2019	<u>6</u>	RETURN OF SERVICE/AFFIDAVIT of Summons and Complaint Executed on United States Attorney General. Date of Service Upon United States Attorney General 5/29/2019., RETURN OF SERVICE/AFFIDAVIT of Summons and Complaint

		Executed as to the United States Attorney. Date of Service Upon United States Attorney on 5/29/2019. ( Answer due for ALL FEDERAL DEFENDANTS by 6/28/2019.) (zrdj) (Entered: 06/11/2019)
06/12/2019	<u>7</u>	Mail Returned as Undeliverable; Sent to DANIEL WARREN; Type of Document Returned: Docket Sheet; Resent at New Address: None. (zrdj) (Entered: 06/14/2019)
06/21/2019	<u>8</u>	NOTICE of Appearance by Carin Marie Cozza on behalf of SECURITIES AND EXCHANGE COMMISSION (Cozza, Carin) (Entered: 06/21/2019)
06/21/2019	<u>9</u>	First MOTION for Extension of Time to File Answer by SECURITIES AND EXCHANGE COMMISSION (Cozza, Carin) (Entered: 06/21/2019)
06/26/2019		MINUTE ORDER granting <u>2</u> the Defendant's Motion for an Extension of Time to July 29, 2019, to answer or otherwise respond to the Complaint. SO ORDERED. Signed by Chief Judge Beryl A. Howell on 6/26/19.(ah) (Entered: 06/26/2019)
06/26/2019		Set/Reset Deadlines: Defendant's answer to the Complaint due by 7/29/2019. (hmc) (Entered: 06/26/2019)
07/15/2019	<u>10</u>	RETURN OF SERVICE/AFFIDAVIT of Summons and Complaint Executed. SECURITIES AND EXCHANGE COMMISSION served on 7/2/2019 (zrdj) (Entered: 07/16/2019)
07/25/2019	<u>11</u>	ANSWER to <u>1</u> Complaint by SECURITIES AND EXCHANGE COMMISSION. (Attachments: # <u>1</u> Exhibit Exhibit 1 – FOIA request, # <u>2</u> Exhibit Exhibit 2 – FOIA response, # <u>3</u> Exhibit Exhibit 3 – FOIA appeal, # <u>4</u> Exhibit Exhibit 4 – FOIA appeal response)(Cozza, Carin) (Entered: 07/25/2019)
08/13/2019	<u>12</u>	AFFIDAVIT in Support of Default by DANIEL WARREN. "Leave to file GRANTED" by Chief Judge Beryl A. Howell on 8/13/19(zrdj) (Entered: 08/13/2019)
09/03/2019	<u>13</u>	MOTION for Defendant to Acquire an Attorney Control Number by DANIEL WARREN (Attachments: # <u>1</u> Exhibit, # <u>2</u> Text of Proposed Order)(zrdj) (Entered: 09/05/2019)
09/27/2019		MINUTE ORDER DIRECTING, upon consideration of the defenses set forth in the defendant's Answer, the attachments to the Answer, and the manner in which cases raising claims under the Freedom of Information Act (FOIA) are typically resolved, the defendant to propose a briefing schedule, or file a dispositive motion, on or before October 11, 2019. Signed by Chief Judge Beryl A. Howell on 9/27/19.(ah) (Entered: 09/27/2019)
09/27/2019		Set/Reset Deadlines: Defendant's response to Order of the Court due by 10/11/2019. (tg) (Entered: 09/27/2019)
10/03/2019	<u>14</u>	PROPOSED BRIEFING SCHEDULE by SECURITIES AND EXCHANGE COMMISSION. (Cozza, Carin) (Entered: 10/03/2019)
10/09/2019	<u>15</u>	MOTION to Stay, MOTION to Hold in Abeyance by DANIEL WARREN (Attachments: # <u>1</u> Text of Proposed Order)(zrdj) (Entered: 10/10/2019)
10/24/2019	<u>16</u>	RESPONSE re <u>15</u> MOTION to Stay MOTION to Hold in Abeyance filed by SECURITIES AND EXCHANGE COMMISSION. (Cozza, Carin) (Entered: 10/24/2019)
11/01/2019	<u>17</u>	MOTION for Summary Judgment by SECURITIES AND EXCHANGE COMMISSION (Attachments: # <u>1</u> Memorandum in Support, # <u>2</u> Statement of Facts, # <u>3</u> Affidavit Declaration and 8 supporting exhibits)(Cozza, Carin) (Entered: 11/01/2019)
11/04/2019	<u>18</u>	Order advising the plaintiff to respond by December 20, 2019, to the defendant's motion for summary judgment or risk entry of judgment in the defendant's favor and dismissal of the case (see document for details). Signed by Chief Judge Beryl A. Howell on 11/4/19.(ah) (Main Document 18 replaced on 11/4/2019, the correct document was uploaded) (tg). (Entered: 11/04/2019)
11/04/2019		MINUTE ORDER: In light of the order issued separately this day, the plaintiff's motion <u>15</u> to stay the proceedings pending his receipt of the defendant's Answer and

		the opportunity to respond is DENIED as moot. However, the Court will grant the plaintiff's request in one regard. The defendant's certificate of service in the Answer does not include the plaintiff's complete address of record, and the plaintiff claims that he did not receive the Answer. Accordingly, the defendant shall promptly re-serve its Answer on the plaintiff. Signed by Chief Judge Beryl A. Howell on 11/4/19.(ah) (Entered: 11/04/2019)
11/04/2019		Set/Reset Deadlines: Plaintiff's response to defendant's motion for summary judgment due by 12/20/2019. (tg) (Entered: 11/04/2019)
11/25/2019	<u>19</u>	MOTION to Compel by DANIEL WARREN (zrdj) (Entered: 11/26/2019)